

Element Performance Inspection (EPI) Data Collection Tool

2.1.4 Availability (Manuals) (AW)

ELEMENT SUMMARY INFORMATION

Purpose of this Element (certificate holder's responsibility):

- To ensure that current manuals are available.

Objective (FAA oversight):

- To determine the effectiveness of the certificate holder's procedures in meeting the desired output of the process.
- To determine if the certificate holder follows its procedures, controls, process measurements, and interfaces for the Availability (Manuals) process.
- To determine if there were any changes in the personnel identified by the certificate holder as having responsibility and/or authority for the Availability (Manuals) process.

Specific Instructions:

- The inspector should accomplish a review of the air carrier's manual(s) availability policies and procedures. The inspector will determine the air carrier has furnished copies of the manual(s) to appropriate ground operations, maintenance personnel, crewmembers, and representatives of the Administrator. Each person to whom a manual or sections of the manual are furnished will have the manual, or appropriate parts of it, accessible when performing assigned duties.

Related EPIs:

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SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (SRRs):

- SRRs:
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(2)
 - 121.135(b)(3)
 - 121.137(a)
 - 121.137(a)(1)
 - 121.137(b)

Related CFRs & FAA Policy/Guidance:

- Related CFRs:
Intentionally left blank
- FAA Policy/Guidance:
FAA Order 8300.10, volume 2, chapter 63
FAA Order 8400.10, volume 3, chapter 15

EPI SECTION 1 - PERFORMANCE OBSERVABLES

Objective: (FAA oversight responsibility): The tasks and questions in this section of the data collection tool (DCT) are designed to assist the inspector in determining if the certificate holder follows its written procedures and controls and meets the established performance measures of the process. To accomplish this, questions have been generated to test both the outputs of the process as well as the process itself. Question 1 and its following subquestions are directed at the output(s) of the process, whereas questions 2-6, when answered, should be directed at the process itself.

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
1.	Review the information listed in the Supplemental Information section of this DCT.
2.	Review the policies, procedures, instructions, and information for the Availability (Manuals) process contained in the certificate holder's manual.
3.	Review the last accomplished safety attribute inspection (SAI) for this element with emphasis on the controls, process measurements, and interface attribute section responses.
4.	Observe the Availability (Manuals) process to gain an understanding of the procedures, instructions, and information contained in the certificate holder's manual.
5.	Discuss the Availability (Manuals) process with the personnel (other than management) who perform the duties and responsibilities required by the process.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Determine whether the following performance measures were met:	
1.1.	<p>Does the certificate holder ensure that the manual, or parts of the manual, are furnished to its appropriate ground operations and maintenance personnel?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> Check at the air carrier specified location that the manual(s) or appropriate parts of the manual required by 121.133 are accessible to appropriate ground operations personnel when performing their assigned duties in accordance with the Certificate Holder's design. <i>Sources:</i> 121.135(a)(1); 121.137(a)(1); 121.137(b) Check at the air carrier specified location that the manual(s) or appropriate parts of the manual required by 121.133 are accessible to appropriate maintenance personnel when performing their assigned duties in accordance with the Certificate Holder's design. <i>Sources:</i> 121.135(a)(1); 121.137(a)(1); 121.137(b) Check at the air carrier specified location that the manual(s) or appropriate parts of the manual required by 121.133 are furnished to Representatives of the Administrator assigned to it in accordance with the Certificate Holder's design. <i>Sources:</i> 121.135(a)(1); 121.137(a)(3) 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	<p>Does the certificate holder ensure that personnel have the manual, or appropriate parts of the manual, accessible when performing their duties?</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> Check at the air carrier specified location that the manual(s) or 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<p>appropriate parts of the manual required by 121.133 are accessible to appropriate ground operations personnel when performing their assigned duties in accordance with the Certificate Holder's design.</p> <p><i>Sources:</i> 121.135(a)(1); 121.137(a)(1); 121.137(b)</p> <p>2. Check at the air carrier specified location that the manual(s) or appropriate parts of the manual required by 121.133 are accessible to appropriate maintenance personnel when performing their assigned duties in accordance with the Certificate Holder's design.</p> <p><i>Sources:</i> 121.135(a)(1); 121.137(a)(1); 121.137(b)</p> <p>3. Check at the outsource provider that the manual(s) or appropriate parts of the manual, are available to maintenance personnel when performing their assigned duties in accordance with the Certificate Holder's design.</p> <p><i>Sources:</i> 121.135(a)(1); 121.137(b)</p>	
1.3.	<p>Does the certificate holder ensure that each person furnished with a manual, or appropriate parts of the manual, are also furnished the changes and additions to the manual?</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check at the air carrier specified location that temporary information or changes, which should not be delayed for the formal revision process, are available in accordance with the Certificate Holder's design.</p> <p><i>Sources:</i> 8400.10, Vol. 3, Chap. 15 sec 1, paragraph, 2085(C)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	<p>Were the certificate holder's policies, procedures, instructions, and information, contained in its manual for the Availability (Manuals) process, followed?</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check at the air carrier specified location that temporary information or changes, which should not be delayed for the formal revision process, are available in accordance with the Certificate Holder's design.</p> <p><i>Sources:</i> 8400.10, Vol. 3, Chap. 15 sec 1, paragraph, 2085(C)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.	Were the Availability (Manuals) process controls followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	Did the records for the Availability (Manuals) process comply with the instructions provided in the certificate holder's manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.	<p>Were the process measurements for the Availability (Manuals) process effective in identifying problems or potential problems and providing corrective action for them?</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check at the air carrier specified location that the manual(s) or appropriate parts of the manual required by 121.133 are accessible to appropriate ground operations personnel when performing their assigned duties in accordance with the Certificate Holder's design.</p> <p><i>Sources:</i> 121.135(a)(1); 121.137(a)(1); 121.137(b)</p> <p>2. Check at the air carrier specified location that the manual(s) or appropriate parts of the manual required by 121.133 are accessible to appropriate maintenance personnel when performing their assigned duties in accordance with the Certificate Holder's design.</p> <p><i>Sources:</i> 121.135(a)(1); 121.137(a)(1); 121.137(b)</p> <p>3. Check at the air carrier specified location that the manual(s) or</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<p>appropriate parts of the manual required by 121.133 are furnished to Representatives of the Administrator assigned to it in accordance with the Certificate Holder's design.</p> <p><i>Sources:</i> 121.135(a)(1); 121.137(a)(3)</p> <p>4. Check at the outsource provider that the manual(s) or appropriate parts of the manual, are available to maintenance personnel when performing their assigned duties in accordance with the Certificate Holder's design.</p> <p><i>Sources:</i> 121.135(a)(1); 121.137(b)</p>	
6.	Did personnel properly handle the associated interfaces by complying with other written policies, procedures, instructions, and information that are related to this element?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

EPI SECTION 1 - PERFORMANCE OBSERVABLES Drop-Down Menu	
1.	Personnel.
2.	Tools and Equipment.
3.	Technical Data.
4.	Procedures, policies or instructions or information.
5.	Materials.
6.	Facilities.
7.	Controls.
8.	Process Measures.
9.	Interfaces.
10.	Desired Outcome.
11.	Other.

EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES

Objective: The questions in this section address the responsibility and authority of the process. They are designed to assist the inspector in determining if there is a clearly identifiable, qualified, and knowledgeable person who is responsible for the process, is answerable for the quality of the process, and has the authority to establish and modify the process. (The person with the authority may or may not be the person with the responsibility.)

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
	NOTE: If no personnel or major program changes (as defined by the principal inspector (PI)) affecting the responsibility or authority attributes for this element have occurred since the last SAI and/or EPI was accomplished, then do not perform tasks 3-6, below. Answer questions 1 and 2, below, and provide the name/title.
1.	Identify the person who has overall responsibility for the Availability (Manuals) process.
2.	Identify the person who has overall authority for the Availability (Manuals) process.
3.	Review the duties and responsibilities for the person(s) who manage the Availability (Manuals) process documented in the certificate holder's manual.
4.	Review the appropriate organizational chart.
5.	Discuss the Availability (Manuals) process with the management personnel identified in tasks 1 and 2.
6.	Evaluate the qualifications and work experience of the management personnel identified in tasks 1 and 2.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Is there a clearly identified person who is responsible for the quality of the Availability (Manuals) process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
2.	Is there a clearly identified person who has authority to establish and modify the certificate holder's policies, procedures, instructions, and information for the Availability (Manuals) process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
3.	Does the responsible person know that he/she has responsibility for the Availability (Manuals) process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
4.	Does the person with authority know that he/she has authority for the Availability (Manuals) process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
5.	Does the person with responsibility for the Availability (Manuals) process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
6.	Does the person with authority to establish and modify the Availability (Manuals) process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change

7.	Does the person with responsibility understand the controls, process measurements, and interfaces associated with the Availability (Manuals) process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
8.	Does the person with authority understand the controls, process measurements, and interfaces associated with the Availability (Manuals) process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
9.	Does the responsible person know who has authority to establish and modify the Availability (Manuals) process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
10.	Does the individual with authority know who has the responsibility for the Availability (Manuals) process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change

EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES	
Drop-Down Menu	
1.	Assignment of responsibility.
2.	Assignment of authority.
3.	Does not understand procedures, policies or instructions and information.
4.	Does not understand controls.
5.	Does not understand process measurements.
6.	Does not understand interfaces.
7.	Span of control.
8.	Position vacant.
9.	Other.